

**DECLARATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. underneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

**ALPHA (2) MACROGLOBULIN RECEPTOR AS A HEAT SHOCK PROTEIN RECEPTOR AND USES THEREOF**

and for which a patent application:

☒ is attached hereto and includes amendment(s) filed on (if applicable)

☐ was filed in the United States on as Application No. (for declaration not accompanying application)

with amendment(s) filed on (if applicable)

☐ was filed as PCT international Application No. on and was amended under PCT Article 19 on (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION			
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

APPLICATION NUMBER	FILING DATE
60/209,095	June 2, 2000

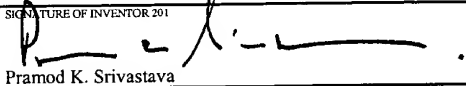
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED

POWER OF ATTORNEY: As a named inventor, I hereby appoint S. Leslie Misrock (Reg. No. 18872), Harry C. Jones, III (Reg. No. 20280), Berj A. Terzian (Reg. No. 20060), David Weild, III (Reg. No. 21094), Jonathan A. Marshall (Reg. No. 24614), Barry D. Rein (Reg. No. 22411), Stanton T. Lawrence, III (Reg. No. 25736), Charles E. McKenney (Reg. No. 22795), Philip T. Shannon (Reg. No. 24278), Francis E. Morris (Reg. No. 24615), Charles E. Miller (Reg. No. 24576), Gidon D. Stern (Reg. No. 27469), John J. Lauter, Jr. (Reg. No. 27814), Brian M. Poissant (Reg. No. 28462), Brian D. Coggio (Reg. No. 27624), Rory J. Radding (Reg. No. 28749), Stephen J. Harbulak (Reg. No. 29166), Donald J. Goodell (Reg. No. 19766), James N. Palik (Reg. No. 25510), Thomas E. Friebe (Reg. No. 29258), Laura A. Coruzzi (Reg. No. 30742), Jennifer Gordon (Reg. No. 30753), Allan A. Fanucci (Reg. No. 30256), Geraldine F. Baldwin (Reg. No. 31232), Victor N. Balancia (Reg. No. 31231), Samuel B. Abrams (Reg. No. 30605), Steven I. Wallach (Reg. No. 35402), Marcia H. Sundeen (Reg. No. 30893), Paul J. Zegger (Reg. No. 33821), Edmond R. Bannon (Reg. No. 32110), Bruce J. Barker (Reg. No. 33291), Adriane M. Antler (Reg. No. 32605), Thomas G. Rowan (Reg. No. 34419), James G. Markey (Reg. No. 31636), Thomas D. Kohler (Reg. No. 32797), Scott D. Stimpson (Reg. No. 33607), Gary S. Williams (Reg. No. 31066), William S. Galliani (Reg. No. 33885), Ann L. Gisolfi (Reg. No. 31956), Todd A. Wagner (Reg. No. 35399), Scott B. Familant (Reg. No. 35514), Kelly D. Talcott (Reg. No. 39582), Francis D. Cerrito (Reg. No. 38100), Anthony M. Insogna (Reg. No. 35203), Brian M. Rothery (Reg. No. 35340), Brian D. Siff (Reg. No. 35679), and Alan Tenenbaum (Reg. No. 34939), all of Pennie & Edmonds LLP, whose addresses are 1155 Avenue of the Americas, New York, New York 10036, 1667 K Street N.W., Washington, DC 20006 and 3300 Hillview Avenue, Palo Alto, CA 94304, and each of them, my attorneys, to prosecute this application, and to transact all business in the Patent and Trademark Office connected therewith.

<b>SEND CORRESPONDENCE TO:</b>		PENNIE & EDMONDS LLP 1155 Avenue of the Americas New York, N.Y. 10036-2711		<b>DIRECT TELEPHONE CALLS TO:</b> PENNIE & EDMONDS LLP DOCKETING (212) 790-2803	
2 0 1	<b>FULL NAME OF INVENTOR</b>	<b>LAST NAME</b> Srivastava	<b>FIRST NAME</b> Pramod	<b>MIDDLE NAME</b> K.	
	<b>RESIDENCE &amp; CITIZENSHIP</b>	<b>CITY</b> Avon	<b>STATE OR FOREIGN COUNTRY</b> Connecticut	<b>COUNTRY OF CITIZENSHIP</b> India	
	<b>POST OFFICE ADDRESS</b>	<b>STREET</b> 70 Pheasant Run	<b>CITY</b> Avon	<b>STATE OR COUNTRY</b> Connecticut	<b>ZIP CODE</b> 06001

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

<b>SIGNATURE OF INVENTOR 201</b>	
	
Pramod K. Srivastava	
<b>DATE</b>	7-24-00

RECEIVED  
JUL 24 2000  
PENNIE & EDMONDS LLP  
1155 AVENUE OF THE AMERICAS  
NEW YORK, NY 10036-2711

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

Application No.: Not yet assigned

Group Art Unit: Not yet assigned

Filed: July 25, 2000

Examiner: Not yet assigned

For: ALPHA (2) MACROGLOBULIN RECEPTOR AS A  
HEAT SHOCK PROTEIN RECEPTOR AND USES  
THEREOF

Attorney Docket No.: 8449-123-999

**TRANSMITTAL OF VERIFIED STATEMENTS AND  
REQUEST TO ESTABLISH SMALL ENTITY STATUS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The Applicant submits herewith the following documents for the above-mentioned application: (1) a Verified Statement Claiming Small Entity Status for the University of Connecticut Health Center; and (2) a Verified Statement Claiming Small Entity Status for Antigenics, LLC.

The Applicant has assigned his entire right, title and interest in the instant application to the University of Connecticut Health Center. The University of Connecticut Health Center has granted certain rights in the application to Antigenics, LLC. The University of Connecticut qualifies as a Small Entity under 37 C.F.R. §§ 1.9(f) and 1.27(d). Antigenics, LLC qualifies as a Small Entity under 37 C.F.R. §§ 1.9(f) and 1.27(c).

It is respectfully requested that the application be accorded Small Entity Status in accordance with 37 C.F.R. §§ 1.9(f), 1.27(c) and 1.27(d). Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this sheet is enclosed for accounting purposes.

Respectfully submitted,

Date: July 25, 2000

*Adriane M. Antler*

Adriane M. Antler  
PENNIE & EDMONDS LLP  
1155 Avenue of the Americas  
New York, New York 10036-2714  
(212) 790-9090

32,605  
(Reg. No.)

*by Eileen Fahney*  
Reg No. 46097

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of: Pramod K. Srivastava

☐ Application No.: To be assigned  
☐ Patent No.:

Group Art Unit: To be assigned

☒ Filed: herewith  
☐ Issued:

Examiner: To be assigned

For: ALPHA (2) MACROGLOBULIN RECEPTOR  
AS A HEAT SHOCK PROTEIN RECEPTOR  
AND USES THEREOF

Attorney Docket No.: 8449-123-999

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
[37 CFR 1.9(f) and 1.27(c)] - Small Business Concern

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act in behalf of  
the concern identified below:

Name of organization Antigenics, LLC  
Address of organization 630 Fifth Avenue, Suite 2100  
New York, NY 10111

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the person employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern and/or there is an obligation under contract or law by the inventor(s) to convey rights to the small business concern with regard to the invention entitled "ALPHA (2) MACROGLOBULIN RECEPTOR AS A HEAT SHOCK PROTEIN RECEPTOR AND USES THEREOF", by inventor Pramod K. Srivastava, described in

☒ the specification filed herewith  
☐ application no. filed:  
☐ patent no. issued

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME University of Connecticut Health Center  
ADDRESS 263 Farmington Avenue  
Farmington, Connecticut 06030  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to:

PENNIE & EDMONDS LLP  
1155 Avenue of the Americas  
New York, N.Y. 10036-2711

Direct Telephone calls to:  
PENNIE & EDMONDS LLP  
(212) 790-9090

Name of person signing Garot H. Armen  
Title of person other than owner Chief Executive Officer  
Address of person signing Antigenics, LLC  
630 Fifth Avenue, Suite 2100  
New York, NY 10111  
Date 7-25-00

Signature [Signature]  
\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.  
(37 CFR 1.27)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of: Pramod K. Srivastava  
☐ Patent of:

☐ Application No.: To be assigned  
☐ Patent No.:

Group Art Unit: To be assigned

☒ Filed: herewith  
☐ Issued:

Examiner: To be assigned

For: ALPHA (2) MACROGLOBULIN  
 RECEPTOR AS A HEAT SHOCK PROTEIN  
 RECEPTOR AND USES THEREOF

Attorney Docket No.: 8449-123-999

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
 [37 CFR 1.9(f) and 1.27(d)] - Nonprofit Organization

Assistant Commissioner for Patents  
 Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of organization University of Connecticut Health Center  
 Address of organization 263 Farmington Avenue  
Farmington, Connecticut 06030  
 Type of organization  
☒ University or other institution of higher education  
☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))  
☐ Nonprofit scientific or educational under statute of state of the United States of America  
 (Name of state \_\_\_\_\_)  
 (Citation of statute \_\_\_\_\_)  
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if located in the United States of America.  
☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America  
 (Name of state \_\_\_\_\_)  
 (Citation of statute \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled "ALPHA (2) MACROGLOBULIN RECEPTOR AS A HEAT SHOCK PROTEIN RECEPTOR AND USES THEREOF", by inventor Pramod K. Srivastava, described in

☒ the specification filed herewith  
☐ application no. filed:  
☐ patent no. issued

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I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above and/or there is an obligation under contract or law by the inventor(s) to convey rights to the nonprofit organization identified above with regard to the invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME Antigenics, LLC  
ADDRESS 630 Fifth Avenue, Suite 2100  
New York, NY 10111  
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

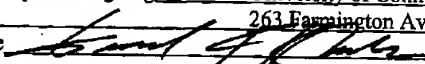
FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

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New York, N.Y. 10036-2711

Direct Telephone calls to:  
PENNIE & EDMONDS LLP  
(212) 790-9090

Name of person signing Leonard P. Paplauskas  
Title of person other than owner Asst. Vice Chancellor for Research  
Address of person signing University of Connecticut Health Center  
263 Farmington Avenue, Farmington, CT 06030  
Signature  Date 7/25/00

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.  
(37 CFR 1.27)

NY2 - 1103707.1